



# CuraGen Corporation

Corporate Legal Department  
555 Long Wharf Drive, 11<sup>th</sup> Floor  
New Haven, CT 06511  
(203) 401-3330  
(203) 401-3333 Fax  
www.curagen.com

July 23, 2003

Via Certified Mail

Denise Lepley, Ph.D.  
47 Briarwood Road  
Hartford, CT 06107

Re: US Applications  
Formal Documents for Execution  
Cura 514CIP – 10/087,684, filed March 1, 2002  
Cura 374 EP– 01961856.0 filed July 30, 2001

Dear Denise:

Enclosed, please find the following documents for the above-identified applications:

- A copy of each application
- Assignment
- Declaration
- Affidavit from European Associate for Cura 374 EP
- 

We ask that you complete the following:

- Review the documents (Assignment & Declaration/POA)
- Make any necessary changes (i.e. **change of address, and initial any changes**)
- Sign the formal documents where indicated with blue ink

Then return to me as soon as possible via FEDEX (CuraGen account no.2264-2089-4), charging the service to us, **no later than Wednesday, July 30, 2003.**

We appreciate your assistance and apologize for any inconvenience. But as you may recall from your time at CuraGen, this is a legal requirement and we have no choice but to ask you to execute these documents. Thanks for all your help and if you have any concerns or questions, please let me know.

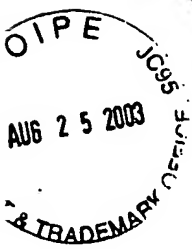
Sincerely,

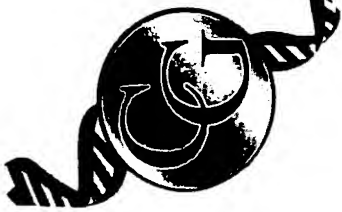
Nicole Carlucci

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# CuraGen Corporation

555 Long Wharf Drive, 11th Floor  
New Haven, CT 06511

PLACE STICKER AT TOP OF ENVELOPE TO THE RIGHT  
OF THE RETURN ADDRESS. FOLD AT DOTTED LINE

**CERTIFIED MAIL**



7001 2510 0004 0892 2120



*unclaimed*

*Denise Lepley*

*FORWARDED:*

*PO Box 411*

*EAST GRANBY, CT*



## SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

*Denise Lepley*  
*47 Bridgewood Rd.*  
*New Haven, CT 06511*

## COMPLETE THIS SECTION ON DELIVERY

A. Received by (Please Print Clearly)	B. Date of Delivery
C. Signature <i>[Signature]</i>	<input checked="" type="checkbox"/> Agent <input type="checkbox"/> Addressee
D. Is delivery address different from item 1? <input type="checkbox"/> Yes If YES, enter delivery address below: <i>PO Box 411</i> <i>EAST GRANBY, CT</i>	

30 Service Type



March 21, 2003

Mr. George Yahwak  
CuraGen Corporation  
Intellectual Property Department  
16 Commercial Street  
Branford, CT 06405  
203-315-4146

**received**  
3-21-03

Dear Mr. George Yahwak,

This letter is to follow up our phone call yesterday regarding my continued participation in executing patent documents for CuraGen. I am refusing to sign and return patent documents without financial compensation. Please do not send me anymore patent documents.

Thank you for your time.

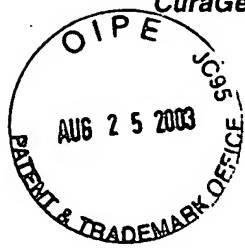
Sincerely,

  
Denise M. Lepley, Ph.D.

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## EMPLOYEE CONFIDENTIAL INFORMATION AND INVENTION AGREEMENT

Whereas, Denise Lepley (the "Employee") is about to enter or continue in the employ of the CuraGen Corporation, a Delaware corporation having its principal place of business at 555 Long Wharf Drive, New Haven, CT 06511 (the "Company"), and in such employment will or may become informed as to many of its procedural, commercial and technical needs, problems, developments and projects, as well as activities directed thereto,

In consideration of said employment being given or continued and the compensation therein, it is agreed as follows:

### PATENTS, COPYRIGHTS AND INTELLECTUAL PROPERTY

1. Employee shall promptly disclose to the Company all Inventions. Inventions shall mean, for purposes of this paragraph, inventions, discoveries, developments, methods and processes (whether or not patentable or copyrightable or constituting trade secrets) conceived, made or discovered by Employee (whether alone or with others) while employed by the Company and that relate, directly or indirectly, to the past, present, or future business activities, research, product design or development, personnel, and business opportunities of the Company, or result from tasks assigned to Employee by the Company or done by Employee for or on behalf of the Company. Employee hereby assigns and agrees to assign to the Company (or as otherwise directed by the Company) his full right, title and interest in and to all Inventions. Employee agrees to execute any and all applications for domestic and foreign patents, copyrights or other proprietary rights and to do such other acts (including, among others, the execution and delivery of instruments of further assurance or confirmation) requested by the Company to assign the Inventions to the Company and to permit the Company to file, obtain and enforce any patents, copyrights or other proprietary rights in the Inventions. Employee agrees to make and maintain adequate and current written records of all Inventions, in the form of notes, sketches, drawings, or reports relating thereto, which records shall be and remain the property of and available to the Company at all times.

2. All designs, ideas, inventions, improvements, and other creations made or owned by Employee before becoming an employee of the Company and which Employee desire to exempt from this Agreement are listed on Attachment A hereof and authorized for exclusion by the signature of an Officer of the Company. (If Employee does not have any such designs, ideas, inventions, improvements, or other creations write "none" on this line: NONE.)

3. Employee agrees to notify the Company in writing before Employee makes any disclosure or performs or causes to be performed any work for or on behalf of the Company, which appears to threaten or conflict with (a) rights Employee claims in any invention or idea conceived by Employee or others (i) prior to Employee's employment, or (ii) otherwise outside the scope of this Agreement; or (b) rights of others arising out of obligations incurred by



Employee (i) prior to this Agreement, or (ii) otherwise outside the scope of this Agreement. In the event of Employee's failure to give notice under the circumstances specified, the Company may assume that no such conflicting invention or idea exists and Employee agrees that Employee will make no claim against the Company with respect to the use of any such invention or idea in any work which Employee performs or causes to be performed for or on behalf of the Company.

## PROPRIETARY AND TRADE SECRET INFORMATION

4. (a) The Employee agrees that he will keep confidential and will not make any unauthorized use or disclosure, or use for his own benefit or the benefit of others, during or subsequent to his employment of any research, development, engineering and manufacturing data, plans, designs, formulae, processes, specifications, techniques, trade secrets, financial information, customer or supplier lists or other information that becomes known to him as a result of his employment with the Company which is the property of the Company or any of its clients, customers, consultants, licensors, licensees, or affiliates, provided nothing herein shall be construed to prevent Employee from using his general knowledge and skill after termination of his employment whether acquired prior to or during his employment by the Company.

(b) Proprietary information subject to paragraph 4(a) does not include information that: (1) is or later become available to the public through no breach of this Agreement by the Employee; (ii) is obtained by the Employee from a third party who had the legal right to disclose the information to the Employee; or (iii) is required to be disclosed by law, government regulation, or court order.

5. During the course of his employment with the Company, the Employee will not accept information from sources outside of the Company which is designated as "Confidential," or "Proprietary," or "Trade Secret" without prior written permission from the Company or its attorneys. The Employee is not expected to and is expressly forbidden by the Company policy from disclosing to the Company "Trade Secret" or "Confidential" or "Proprietary" information from a former employer.

6. During his employment, or upon leaving the employment of the Company, the Employee will not remove from the Company premises, either directly or indirectly, any drawings, writings, prints, any documents or anything containing, embodying, or disclosing any confidential or proprietary information or any of the Company's trade secrets unless express written permission is given by the Company management. Upon termination of his employment, Employee shall return to the Company any and all documents and materials that are the property of the Company or its customers, licensees, licensors or affiliates or which contain information that is the property of the Company.

## COMPETITIVE ACTIVITIES

7. (a) While in the employ of the Company and for a period of one year or the maximum period permitted by applicable law (whichever is shorter) following termination of his

employment with the Company, Employee shall not, without the approval of the Company, alone or as a partner, officer, director, consultant, employee, stockholder or otherwise, engage in any employment, consulting or business activity or occupation that is or is intended to be competitive with the business of the Company, as being considered, researched, developed, marketed and/or sold at the time of termination; provided, however, that the holding by Employee of any investment in any security shall not be deemed to be a violation of this Section 7 if such investment does not constitute over one percent (1%) of the outstanding issue of such security. This restriction shall run for a period of one year after said termination, and if there shall be any violation hereof during said period, then for a period of one year after cessation of such violation.

(b) While in the employ of the Company, Employee shall promptly notify the Company, if Employee, alone or as a partner, officer, director, consultant, employee, stockholder or otherwise, engages in any employment, consulting or business activity or occupation outside his employment by the Company.

(c) You agree that you will provide, and that the Company may similarly provide in its discretion, a copy of this Agreement to any business or enterprise which you may directly, or indirectly, own, manage, operate, finance, join, control or in which you participate in the ownership, management, operation, financing, or control, or with which you may be connected as an officer, director, employee, partner, principal, agent, representative, consultant or otherwise.

## GENERAL

8. This Agreement shall be binding upon and inure to the benefit of the parties and their respective legal representatives, successors and permitted assigns. The Employee agrees that the Company may assign this Agreement to any person or entity controlled by, in control of, or under common control with, the Company.

9. This Agreement constitutes the entire agreement between the parties as to the subject matter hereof. No provision of this Agreement shall be waived, altered or canceled except in writing signed by the party against whom such waiver, alteration or cancellation is asserted. Any such waiver shall be limited to the particular instance and the particular time when and for which it is given.

10. This Agreement shall be governed by and construed in accordance with the laws of the State of Connecticut.

11. The invalidity or unenforceability of any provision hereof as to an obligation of a party shall in no way affect the validity or enforceability of any other provision of this Agreement, provided that if such invalidity or unenforceability materially adversely affects the benefits the other party reasonably expected to receive hereunder, that party shall have the right to terminate this Agreement. Moreover, if one or more of the provisions contained in this Agreement shall for any reason be held to be excessively broad as to scope, activity or subject so as to be unenforceable at law, such provision or provision shall be construed by limiting or

reducing it or them, so as to be enforceable to the extent compatible with the applicable law as it shall then appear.

IN WITNESS WHEREOF, I have duly executed this Agreement as of this 23<sup>rd</sup> day of April, 2001.

Employee Name: Denise Lepley

Employee Title: Research Scientist

Employee Signature:



Address:

322 East Main Street  
Branford, CT 06405

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**Attachment A**

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**APPLICANT:** Denise Lepley, et al.  
**SERIAL NUMBER:** 10/087,684      **ART UNIT:** 1645  
**FILING DATE:** March 1, 2002      **EXAMINER:** unknown  
**FOR:** Proteins and Nucleic Acids Encoding Same

**DECLARATION IN SUPPORT OF 37 CFR 1.47 FILING**

I, NICOLE Carlucci, declare that:

- (1) I am employed as a Legal Specialist in the Intellectual Property Office of CuraGen Corporation; have a mailing address at CuraGen Corporation, 555 Long Wharf Drive, New Haven, Connecticut 06511; and am responsible for seeing that the combined Declaration and Power of Attorney, and Assignment documents for patent applications filed on behalf of CuraGen's employees are fully executed and filed with the United States Patent and Trademark Office;
- (2) CuraGen Corporation contracted with the Boston, Massachusetts law firm of Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C., to prepare and file the above-captioned United States patent application on its behalf;
- (3) Denise Lepley ("LEPLEY") is a named inventor for the subject matter described in the above-captioned patent application;
- (4) LEPLEY was employed by CuraGen Corporation from April 23, 2001, until her termination effective August 16, 2002;
- (5) At the time of LEPLEY's employment he executed an Agreement in which she agreed to assign her "full right, title and interest in and to all inventions" to CuraGen Corporation, and agreed "to execute any and all applications for domestic and foreign patents, copyrights or other proprietary rights and to do such other acts ... requested by Company to assign the

Inventions to the Company and permit the Company to file, obtain and enforce any patents, copyrights or other proprietary rights in the Inventions" (this obligation is contained in paragraph 1 of the attached true copy of the Employee Confidential Information and Invention Agreement as executed by LEPLEY on April 23, 2001);

- (6) On March 20<sup>th</sup> 2003, Dr. Lepley called CuraGen's Director of Intellectual Property and indicated to him that she refused to execute any and all documents required for the filing of any patent applications that indicate her as an inventor;
- (7) On March 21<sup>st</sup> 2003, CuraGen received a facsimile from Dr. Lepley, a true copy of which is attached hereto, in which she confirms the telephone call of March 20<sup>th</sup> 2003, and indicates her refusal to execute any "patent documents" with regard to the captioned and other patent application filings naming her as an inventor; and
- (8) On July 23<sup>rd</sup> 2003, I sent LEPLEY a letter, A true copy of which is attached hereto, enclosing a photocopy of the above-captioned United States patent application as filed, a Combined Declaration and Power of Attorney and an Assignment document for execution in accordance with her obligations to execute the same under the terms of her April 23<sup>rd</sup> 2001 Agreement;
- (9) As of August 18<sup>th</sup> 2003, LEPLEY has refused and continues to refuse to execute the Combined Declaration and Power of Attorney, and the Assignment document sent her in the June 17<sup>th</sup> 2003 letter.

All statements made in this Declaration are true, and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, Section 1001 of the United States Code, and that any such willful false statement may jeopardize the validity of any United States Letters Patent resulting from the above-captioned United States patent application.

Dated this 18<sup>th</sup> day of August 2003 by Nicola Carlucci **RECEIVED**

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